

# Remittance Processing System – Pre Mainline (RPS-PM) – Privacy Impact Assessment (PIA)

PIA Approval Date: November 23, 2009

## Purpose of the System

RPS-PM processes daily taxpayer remittances (tax payments) and creates transactions used to credit taxpayer accounts for payments received. RPS-PM perfects payment and tax information from taxpayers and third parties that have been entered into the system and passes the perfected data to the corporate data stores. RPS-PM creates input to notice review processing and creates journals, ledgers, and reports for accounting.

## Systems of Records Notice (SORN):

- Treasury/IRS 34.037 IRS Audit Trail and Security Records
- Treasury/IRS 24.046 Customer Account Data Engine (CADE) Business Master File (BMF)

## Data in the System

**1. Describe the information (data elements and fields) available in the system in the following categories:**

A. Taxpayer:

- Taxpayer Identification Number (TIN)/Employer Identification Number (EIN)
- Name Control Field: First four letters of an individual's last name (NAME-CTRL)

**2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources.**

A. IRS:

- Integrated Submission and Remittance Processing System (ISRP)
- TIN/EIN
- NAME-CTRL

B. Other Third Party Sources:

- Lockbox Bank
- TIN/EIN
- NAME-CTRL

**3. Is each data item required for the business purpose of the system? Explain.**

Yes. All data processed through the RPS-PM system is relevant and necessary. The system is responsible for receiving, validating, formatting remittance data, and supporting IRS employees who need the data.

**4. How will each data item be verified for accuracy, timeliness, and completeness?**

- **Accuracy** - The RPS-PM payments are posted to taxpayer accounts via a matching process; this determines the accuracy of the taxpayer identification information. Mis-matched payments are evaluated to determine the reason and TIN/EIN and Name Control field changes are made when required, so that the payment will subsequently match. Standard checks for numeric data and dates are used in the RPS-PM batch programs.

- **Timeliness** - RPS-PM payment records contain a payment received date that is posted to taxpayer accounts with the payment amount.
- **Completeness** - Completeness is verified downstream in the payment matching and posting process. Incomplete submissions will not post and will be identified on error reports.

**5. Is there another source for the data? Explain how that source is or is not used.**

No. Lockbox banks and ISRP are the only sources of input to the RPS-PM.

**6. Generally, how will data be retrieved by the user?**

Data is not retrieved from the RPS-PM system. RPS-PM writes perfected payment data to disc for downstream posting to the taxpayer's master file account. RPS paper revenue summary reports are printed and provided to revenue accounting personnel.

**7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?**

RPS-PM payment records are only accessed by batch programs. The batch programs can only be developed and rolled out by the RPS-PM programming staff. All RPS-PM data is pushed out to machine storage media from these programs, and not retrieved from a user access method.

**Access to the Data**

**8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?**

**Roles:** Computer Systems Analysts CSA/Schedulers

**Permissions:** Read and execute in the production environment. Modify Execute Control Language (ECL) in production; however, no code revisions are permitted.

**Roles:** System Administrators

**Permissions:** Read and execute in the production environment. Modify Execute Control Language (ECL) in production; however, no code revisions are permitted.

**Roles:** Application Testers

**Permissions:** Read and execute on the test environment only.

**Roles:** Application Developers

**Permissions:** Full access to the test environment which does not contain live data. Access to live data on the production environment requires prior approval via Information Technology Asset Management System (ITAMS) and the user's manager in accordance with fire call procedures.

The RPS-PM application does not have any end-users.

**9. How is access to the data by a user determined and by whom?**

For developers, unique Mainframe user names and passwords are required for access and authentication. An Online 5081 (OL5081) application form is required of IRS developers requesting access to RPS-PM, via the mainframe, and must be signed by an immediate manager. Once the forms are approved, they are submitted to the system administrator, who adds the new user's account into the system.

**10. Do other IRS systems provide, receive, or share data in the system? If YES, list the system(s) and describe which data is shared.**

Yes, there are a number of IRS systems that provide data to RPS-PM and/or receive data from RPS-PM. The RPS-PM application interfaces with the mainframe upon which it resides for application data sharing. The mainframe resides within the MITS-23 General Support System (GSS). There are no direct interconnections with the RPS-PM application. The following applications receive data indirectly from the RPS-PM application through the MITS-23 GSS:

**TIF Daily Update (a component of– Integrated Data Retrieval System (IDRS))**

- TIN/EIN
- NAME-CTRL

**GMF**

- TIN/EIN
- NAME-CTRL

**NAP**

- TIN/EIN
- NAME-CTRL

**NRPS (a component of Individual Master File (IMF))**

- TIN/EIN
- NAME-CTRL

The following application transfers data files to the mainframe residing within the MITS-23 GSS. The RPS-PM application collects this data directly from the mainframe upon which the application resides.

**ISRP**

- TIN/EIN
- NAME-CTRL

**11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?**

**ISRP**

- Authorization to Operate (ATO) approved 2/9/2009
- PIA approved 9/8/2008

**IDRS (TIF Daily Update)**

- ATO approved 3/10/2009
- PIA approved 11/6/2008

**IMF (NRPS)**

- ATO approved 6/21/2007
- PIA approved 6/7/2007

**GMF**

- ATO approved 2/18/2009
- PIA approved 10/31/2008

## **NAP**

- ATO approved 2/13/2009
- PIA approved 11/12/2008

### **12. Will other agencies provide, receive, or share data in any form with this system?**

No other agencies share data or have access to RPS-PM data.

## **Administrative Controls of Data**

### **13. What are the procedures for eliminating the data at the end of the retention period?**

The RPS-PM application follows the guidance described in IRM 1.15.6.9, "Retention and Disposition of Electronic Records."

The computing centers are provided with file retention periods for each RPS-PM output file, and the retention period is input to the System for Tape Administration and Reporting (STAR). RPS-PM files are stored for seven to 90 days depending on the retention period associated with the file.

When a tape meets the end date of the retention period, STAR sets a flag which identifies the tape as being available to be over-written, and the tape reel is moved to the scratched tape inventory pool.

### **14. Will this system use technology in a new way?**

No. The system will not use technology in a new way.

### **15. Will this system be used to identify or locate individuals or groups? If so, describe the business purpose for this capability.**

No. RPS-PM can not be used to locate users and groups.

### **16. Will this system provide the capability to monitor individuals or groups? If yes, describe the business purpose for this capability and the controls established to prevent unauthorized monitoring.**

No. RPS-PM is not designed to identify, track, locate, or monitor individuals.

### **17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently?**

No. The taxpayers associated with the RPS-PM process are treated in the same manner because payments are posted to all.

### **18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?**

No. The system is not capable of making determinations.

### **19. If the system is web-based, does it use persistent cookies or other tracking devices to identify web visitors?**

No. RPS-PM is not web-based.

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